International Civil Aviation Organization

Second Meeting of the Middle East Regional Aviation Safety Group (RASG-MID/2)

(Abu Dhabi, UAE, 12 - 14 November 2012)

Agenda Item 2: **Global Developments related to Aviation Safety**

UPDATE ON THE TRANSITION PLAN TO THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAM TO A CONTINUOUS MONITORING APPROACH (USOAP-CMA)

(Presented by the Secretariat)

SUMMARY

This information paper presents an update on the activities of the USOAP undertaken during the transition phase, from its commencement in 2011 leading to the full scale implementation of the USOAP CMA scheduled for January 2013.

Action by the meeting is at paragraph 3.

1. **INTRODUCTION**

1.1   The 37th Session of the Assembly directed the Secretary General to evolve the Universal Safety Oversight Audit Programme (USOAP) to a continuous monitoring approach (CMA), incorporating the analysis of safety risk factors on a universal basis in order to assess States' oversight capabilities.

1.2   The USOAP CMA is designed to continuously monitor the safety oversight capabilities of States and ensure that States develop, maintain and apply national regulations in accordance with ICAO Standards and Recommended Practices (SARPs). CMA incorporates principles of safety management using safety risk management concepts. The methodology provides a mechanism for ICAO to collect safety information from Member States and other stakeholders, and to analyse this information using a risk-based approach. This allows for the identification and prioritization of appropriate strategies to rectify deficiencies and reduce or eliminate risk.

1.3   It was agreed that CMA would be introduced over a two-year transition period, from 2011 to 2012, to allow ICAO to further develop the required tools as well as provide detailed guidance and training to Member States. A transition plan was developed and presented to the Assembly that provided for both States and ICAO to gradually implement the different elements of the new approach.

1.4   This paper provides a report on the activities of the USOAP, as found at **Appendix A** to this information paper.

2.   CONCLUSION

2.1   Significant progress has been made in all areas related to the transition plan to implement CMA and the programme remains on target for the full launch of CMA activities in January 2013.

3.   ACTION BY THE MEETING

3.1   The meeting is invited to note the information in this paper.

APPENDIX A

TABLE 1.   PROGRESS IN THE IMPLEMENTATION OF THE USOAP CMA

The following table sets forth the primary activities undertaken during the transition phase of CMA and provides an update on the status of actions taken:

Activity		Status/Outcomes	Comments
1.	**Communications, Supporting Documentation and Online Framework**		
1.1	***Communications:*** Develop a communications and outreach strategy to promote and provide information on the USOAP CMA to Member States and stakeholders as well as to receive input on key documents and tools.	At the inception of the transition period, the USOAP restricted website was enhanced in accordance with Assembly Resolutions to facilitate the exchange of information on CMA activities. Interactive computer-based training (CBT) to familiarize all States with CMA was developed and is available free of charge in all ICAO languages on the ICAO public website. A USOAP CMA Activity Plan is posted biannually on the ICAO-NET and USOAP restricted website.	
1.2	***Guidance Material:*** Draft and publish a new edition of the *Safety Oversight Audit Manual* (Doc 9735) to incorporate guidance on the CMA approach. Develop other guidance material as necessary.	The newly titled *USOAP Continuous Monitoring Manual* (Doc 9735) has been published and is available on the ICAO-NET and USOAP restricted website in all ICAO languages. Other guidance material is developed and made available on specific topics as required, such as in the series of tutorials and 'Help' topics on the USOAP restricted website and presently made available in all ICAO languages (for example, a specific training module was developed to provide detailed instructions on the development and update of State Corrective Action Plans).	The *USOAP Continuous Monitoring Manual* is the main reference document supporting the USOAP. It provides information and guidance on the management and conduct of programme activities using CMA concepts and methodologies, and outlines the standardized processes and procedures that ensure USOAP CMA activities are conducted in a systematic, consistent and objective manner.
1.3	***Memorandum of Understanding (MoU):*** Draft a generic MoU to govern the relationship between ICAO and Member States with respect to CMA activities. Seek Council	The Council approved a new generic MoU (C-DEC 192/8) and, as of 31 August 2012, 169 States had signed (or were in the process of signing) the MoU allowing for CMA activities.	

	Activity	Status/Outcomes	Comments
	approval and circulate for signature to all Member States.		
1.4	*National Continuous Monitoring Coordinators (NCMCs):* Communicate with States regarding the need to nominate one or more NCMCs as a focal point for ICAO CMA activities. Develop computer-based training (CBT) to familiarize NCMCs with relevant aspects of CMA.	As of 31 August 2012, 102 States had nominated one or more NCMCs. All nominated NCMCs have been provided access to the CMA on line framework, including tutorials and free CMA CBT training.	
1.5	*Online Framework:* Design and develop a CMA interactive online framework along with a centralized database to properly manage data gathered under the USOAP on an ongoing basis.	All tools required for the conduct of CMA activities have been redesigned and made available for interactive use in 'real time' on the CMA online framework through a suite of web-based integrated application systems.	In addition to information received directly from States, the online framework includes information received from ICAO regional offices.
	This includes the redesign of the following tools required for CMA activities: • State Aviation Activity Questionnaires (SAAQs); • Compliance Checklists (CCs) through the Electronic Filing of Differences (EFOD) system; • USOAP CMA Protocol Questionnaires (PQs); • State Corrective Action Plans (CAPs); • Mandatory Information Requests (MIRs); and • Self-assessment checklists.	All States that have been identified for CMA activities during the transition period have successfully used the suite of web-based applications.	
1.6	*Sharing of Audit Information:* Make all safety oversight-related information generated by the CMA available to Member States through a restricted website.	Migration is underway of the ICAO USOAP restricted website to the USOAP CMA online framework, with all features to be made available by 31 December 2012. Results of all CMA activities are kept	Similar information was also made available under the previous USOAP comprehensive systems approach (CSA) audit cycle.

Activity	Status/Outcomes	Comments
Continue to enhance the ICAO public website which allows public access to certain safety-related information.	on the restricted website and regularly updated as information becomes available. The Integrated Safety Trend Analysis and Reporting System (iSTARS) is being expanded to make information available to Member States in a more user-friendly manner. An overview of audit results for each Member State is also made available to the public through the public portion of iSTARS (formerly the Flight Safety Information Exchange (FSIX)). Enhancements have been made to present information in a more user-friendly manner.	
2. USOAP CMA Quality Management System (QMS)		
2.1 *Quality Management System (QMS)*: Expand the QMS and related processes and mechanisms in support of USOAP CMA activities.	The CMO Section has expanded its QMS (procedures, processes, tools, and quality system requirements) to include CMA. The CMO Section has also developed a plan for extending the QMS to ICAO regional offices in support of CMA activities.	The QMS in the CMO Section consists of controlled and documented procedures, processes and mechanisms for monitoring and improving the USOAP and ensuring that CMA activities are carried out according to defined provisions and requirements.
2.2 *ISO 9001 Certification:* Obtain ISO 9001 certification on the expanded scope and methodology of USOAP CMA.	The CMO Section has been recertified to the ISO 9001:2008 standard for quality management systems. The certification scope includes: the collection, processing and sharing of safety oversight information, the conduct of continuous monitoring activities, and the provision of safety training and seminars for the enhancement of global aviation safety.	The CMO Section has been certified to ISO 9001 since 2002. The most recent recertification audit was conducted in October 2011 by National Quality Assurance, an independent, non-governmental certification body.
2.3 *Continual Improvement*: Seek regular input and feedback from States, stakeholders and auditors on USOAP CMA activities.	The CMO Section collects data from States regarding their satisfaction with USOAP activities. The feedback received from States thus far on ICAO Coordinated Validation Missions (ICVMs) conducted since 2011 indicates an overall satisfaction rate of 97 per cent. The mechanism for collecting State feedback data has been improved for USOAP CMA activities, and is	The USOAP remains committed to maintaining and improving the quality and effectiveness of all aspects of CMA.

Activity	Status/Outcomes	Comments
	expected to generate more focused and objective data for measuring the satisfaction of States. The CMO Section also measures the feedback of internal stakeholders including team leaders of USOAP activities. The feedback received from team leaders of ICVMs conducted since 2011 is being used to improve the processes and tools of USOAP CMA.	
3.	**Training Activities**	
3.1	*In-house Training*: Conduct training of all concerned ICAO Headquarters (HQ) and regional office staff to be qualified as USOAP auditors and/or subject matter experts to conduct ICAO Coordinated Validation Missions (ICVMs).	Most of ICAO ANB HQ staff and ICAO regional staff have been trained on the CMA methodology. All ICAO regional offices have sent at least one RO for a two-month training programme with the CMO Section at Headquarters and received on-the-job training for conducting ICVMs.	Regional offices are actively involved in the continuous monitoring process. Their roles and responsibilities in relation to CMA activities are set forth in the USOAP Quality Procedures.
3.2	*Familiarization Training for State Employees:* Develop and provide computer-based training (CBT) to familiarize State employees on CMA methodology and activities.	All relevant familiarization e-learning (CBT) materials have been developed and are available online. As of 31 August 2012, ninety-six participants from forty-one States and four international organizations have taken the familiarization training.	The familiarization training provides an opportunity for States to enhance the competencies of their aviation safety personnel without them necessarily being selected as approved CMA auditors or experts.
3.3	*Training of Seconded Auditors and Experts:* Develop and provide CBT to prepare qualified aviation experts from States or recognized international organizations to perform ICAO CMA activities, including ICVMs and USOAP audits.	All relevant e-learning (CBT) materials for auditors and subject matter experts have been developed and are available online. As of 31 August 2012, seventy participants from twenty-three States and four international organizations had taken the training for USOAP auditors and/or ICVM experts.	States and recognized organizations are called upon to nominate experts for secondment to ICAO on a long- or short-term basis in support of the USOAP CMA, either as auditors or as subject matter experts.
3.4	*Regional Seminar/ Workshops*: Prepare training materials and conduct CMA regional seminar/workshops to assist States in their preparation for CMA.	Fourteen regional seminar/workshops were planned for the 2011-2012 transition period. Twelve have been conducted as of 31 August 2012 (including all regions, in four languages) and the balance are on track to be completed in the fourth quarter of 2012.	A listing of seminar/ workshops conducted and planned may be found in the USOAP CMA Activity Plan posted biannually on the ICAO-NET and the USOAP restricted website.

Activity	Status/Outcomes	Comments
4.	**On-site CMA Activities in States**		
4.1	**ICAO Coordinated Validation Missions (ICVMs):** Conduct ICVMs in appropriate States to ascertain whether previously identified safety deficiencies have been satisfactorily resolved. More specifically, assess the status of corrective actions taken by the concerned Member State to address previous findings and recommendations, including any significant safety concerns (SSCs) that were identified.	A methodology for identifying States to undergo an ICVM has been developed based on: previous audit results, the level of traffic in the State, the date since the last USOAP activity, and consultation with the ICAO regional offices. ICVMs are also conducted in States that have a significant safety concern (SSC), once information is received that the SSC has been resolved. A total of thirty ICVMs were planned for the transition period during 2011-2012. As of 31 August 2012, twenty ICVMs have been conducted in all ICAO regions, with the remaining ten to be scheduled by the end of this year.	The CMA Activity Plan posted on the ICAO-NET and USOAP restricted website sets forth the list of ICVMs conducted and planned. States are scheduled for an ICVM once an acceptable CAP has been submitted to ICAO and there is evidence that reasonable progress has been achieved. The results of States that underwent an ICVM showed good progress in implementing proposed corrective actions. States consider the ICVMs as a form of assistance mission to provide advice and guidance on their corrective actions. Specific audit and ICVM results may be viewed on the USOAP CMA online framework.
4.2	***Comprehensive Systems Approach (CSA) Audits:*** Conduct CSA audits in appropriate States to determine States' capabilities for safety oversight by assessing the effective implementation of all safety-relevant ICAO SARPs, associated procedures, guidance material and best safety practices.	As of 31 August 2012, 182 CSA audits had been conducted (including from the USOAP audit cycle before the transition to CMA). Three of these took place in 2011, and two in 2012, with one more scheduled in December of this year. The remaining States have not been scheduled due to United Nations mission travel restrictions and the missions will take place when conditions permit. Ten CSA audits are scheduled in 2013 and have been identified on the CMA Activity Plan posted on the ICAO-NET and USOAP restricted website.	CSA audits will continue to be carried out by ICAO and will be tailored to the level and complexity of aviation activities in the State. CSA audits may be either full scale or of limited scope. The limited audits are useful in States where the safety oversight mechanisms in some technical areas are less developed than others, or where a specific technical area has undergone a significant change.
5.	**Agreements with Partners**		
5.1	Develop and expand agreements with relevant international entities in order to foster coordination and	New agreements and amendments to existing agreements for the sharing of safety information are being concluded between ICAO and a number of	Through expanded agreements with external stakeholders, shared information can be used to

Activity	Status/Outcomes	Comments
cooperation in sharing safety information.	international entities including the following: • European Commission (EC) • European Aviation Safety Agency (EASA) • EUROCONTROL • Interstate Aviation Committee (MAK) • International Air Transport Association (IATA) • Airport Council International (ACI) • Civil Air Navigation Services Organization (CANSO) • US Flight Safety Foundation (FSF)	supplement and help validate data currently held by ICAO. The sharing of information potentially reduces the burden on States caused by repetitive audits or inspections and the duplication of monitoring activities.

-END-